Application No. 09/778,005 Docket No. 111325/000045



THE UNITED STATES PATENT AND TRADEMARK OFFICE

م و

In re Patent Application of: Mark J. Stefik et al.)	Examiner: Unassigned
Serial No. 09/778,005 🗸)	Group Art Unit: 2132
Filed: 02/07/2001 For: A SYSTEM FOR CONTROLLING THE)	RECEIVED
DISTRIBUTION AND USE OF RENDERED DIGITAL WORKS THROUGH WATERMARKING)	SEP 0 4 2002

INFORMATION DISCLOSURE STATEMENT

Technology Center 2100

Commissioner of Patents Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure as set forth in 37 C.F.R. §1.56, Applicants hereby submit the following information in conformance with 37 C.F.R. §§ 1.97 and 1.98. Pursuant to 37 C.F.R. § 1.98, a copy of each of the documents cited is enclosed.

The documents are being submitted within three (3) months of the filing of this application or entry into the national stage of this application, or before the first Office Action on the merits, whichever is later, therefore no fee or certification is required under 37 C.F.R. § 1.97(b).

It is requested that the accompanying information disclosure statement be considered and made of record in the above-captioned application. To assist the Examiner, the documents are listed on the attached form PTO-1449. It is respectfully requested that an Examiner initialed copy of this form be returned to the undersigned.

The Commissioner is hereby authorized to charge any fees connected with this filing which may be required now, or credit any overpayment to Deposit Account No. 19-2380.

Respectfully submitted,

By: Marc S. Kaufman

Registration No. 35,212

NIXON PEABODY LLP 8180 Greensboro Drive, Suite 800 McLean, Virginia 22102 Telephone: (703) 770-9300

NVA238516.1

Form PTO-144 (Rev. 8-83)		U.S.Department of Commerce Patent and Trademark Office	Atty Docket 111325-	-45		Serial No. 09	/778,005
INFORMATION DISCLOSURE STATEMENT		Applicants: Stefik et al.					
II \~O	3 0 5005 E		Filing Date: February 07, 2001 Gro		Group Art U	Group Art Unit:	
Tay	. ART CE	U.S. PATENT	DOCUMENTS		-		
Examiner Initial	Document Number	Date	Name		Class	Subclass	Filing Date (if appropriate)
	3,263,158	07/01/1966	Janis				
	3,609,697	09/28/1971	Blevins et al.				
	3,790,700	02/05/1974	Callais et al.				
	3,798,605	03/19/1974	Feistel				
· · ·	4,159,468	06/26/1979	Barnes et al.	R	FC	EIVED	
	4,220,991	09/02/1980	Hamano et al.				
	4,278,837	07/14/1981	Best		SEP (4 2002	
	4,323,921	04/06/1982	Guillou	Tec	hnology	Center 2100	d
	4,442,486	04/10/1984	Mayer		,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,		
	4,529,870	07/16/1985	Chaum				
	4,558,176	12/10/1985	Arnold et al.				
	4,593,376	06/03/1986	Volk				
	4,614,861	09/30/1986	Pavlov et al.				
	4,644,493	02/17/1987	Chandra et al.				
	4,658,093	04/14/1987	Hellman				
	4,817,140	03/28/1989	Chandra et al.			<u> </u>	
	4,868,376	09/19/1989	Lessin et al.				
	4,891,838	01/02/1990	Faber				}
	4,924,378	05/08/1990	Hershey et al.				
	4,932,054	06/05/1990	Chou et al.				
	4,937,863	06/26/1990	Robert et al.				
	4,949,187	08/14/1990	Cohen				
	4,953,209	08/28/1990	Ryder, Sr. et al.				
	4,961,142	10/02/1990	Elliott et al.				
	4,975,647	12/04/1990	Downer et al.				
	4,999,806	03/12/1991	Chernow et al.	<u>.</u>			
	5,010,571	04/23/1991	Katznelson				
	5,014,234	05/07/1991	Edwards, Jr.				
 	5,023,907	06/11/1991	Johnson et al.				
	5,047,928	09/10/1991	Wiedemer				
	5,052,040	09/24/1991	Preston et al.				
Examiner			Date Considered	(DEE 41		11 1 .	
		ed, whether or not citation is nelude copy of this formwith				iine inrough cit	ation if

Form PTO-1 (Rev. 8-83)	449	U.S.Department of Commerce Patent and Trademark Office	Atty Docket 111325-	45		Serial No. 09/	7778,005
ON	FORMACION DISCLOSU	RE STATEMENT	Applicants: Stefik et al.				
1 /	3 0 2002		Filing Date: February	y 07, 200	1	Group Art U	nit:
PAT	36/	U.S. PATENT	DOCUMENTS				
Examiner Initial	TRADEMAN Document Number	Date	Name		Class	Subclass	Filing Date (if appropriate)
	5,058,164	10/15/1991	Elmer et al.				
	5,103,476	04/07/1992	Waite et al.				
	5,113,519	05/12/1992	Johnson et al.				
	5,136,643	08/04/1992	Fischer				
-	5,138,712	08/11/1992	Corbin				
	5,146,499	09/08/1992	Geffrotin				
	5,148,481	09/15/1992	Abraham et al.	DE	CE	VED	
	5,159,182	10/27/1992	Eisele	RE		V	
	5,183,404	02/02/1993	Aldous et al.	\$	EP 0	1 2002	
	5,191,193	03/02/1993	Le Roux	Tochr	ology (Center 2100	
	5,204,897	04/20/1993	Wyman	16011	iology.	0.011101	
	5,222,134	06/22/1993	Waite et al.				
	5,235,642	08/10/1993	Wobber et al.				
	5,247,575	09/21/1993	Sprague et al.				
	5,255,106	10/19/1993	Castro	Ì			
	5,260,999	11/09/1993	Wyman				
	5,263,157	11/16/1993	Janis				
	5,263,158	11/16/1993	Janis				
	5,276,444	01/04/1994	McNair				
	5,276,735	01/04/1994	Boebert et al.				
	5,291,596	03/01/1994	Mita				
	5,311,591	05/10/1994	Fischer				
	5,319,705	06/07/1994	Halter et al.		-	-	
	5,337,357	08/09/1994	Chou et al.				
	5,339,091	08/16/1994	Yamazaki et al.				
	5,341,429	08/23/1994	Stringer et al.				
	5,347,579	09/13/1994	Blandford				
	5,381,526	01/10/1995	Ellson				
	5,394,469	02/28/1995	Nagel et al.				
	5,412,717	05/02/1995	Fischer				
	5,428,606	06/27/1995	Moskowitz				
			D. C				
	ER: Initial if citation consider					line through cit	tation if
	ormance and not considered. 1						

Form PTO-1449 (Rev. 8-83)	•	partment of Commerce and Trademark Office	Atty Docket 111325-45		Serial No. 09/	778,005
PREMATION DISCLOSURE STATEMENT		Applicants: Stefik et al.				
C anns			Filing Date: February 07,	2001	Group Art U	nit:
AUG 3 CON ST		U.S. PATENT I	DOCUMENTS			
Examination Initial PRADEMINITIAL PROPERTY OF THE PROPERTY OF	Occument Number	Date	Name	Class	Subclass	Filing Date (if appropriate
MADE	5,432,849	07/11/1995	Johnson et al.			
	5,438,508	08/01/1995	Wyman			
	5,444,779	08/22/1995	Daniele		-	
	5,453,601	09/26/1995	Rosen			
	5,455,953	10/03/1995	Russell			
	5,457,746	10/10/1995	Dolphin			
	5,473,687	12/05/1995	Lipscomb et al.			
	5,473,692	12/05/1995	Davis		IVED	
	5,499,298	03/12/1996	Narasimhalu et al.	REUL		
	5,504,814	04/02/1996	Miyahara	SEP 0	4 2002	
	5,504,818	04/02/1996	Okano T	echnology	Conter 2100	
	5,504,837	04/02/1996	Griffeth et al.	70: 1101.20 ³	1	
	5,509,070	04/16/1996	Schull			
	5,530,235	06/25/1996	Stefik et al.			
	5,532,920	07/02/1996	Hartrick et al.			
	5,534,975	07/09/1996	Stefik et al.			
	5,539,735	07/23/1996	Moskowitz			
	5,563,946	10/08/1996	Cooper et al.			
	5,568,552	10/22/1996	Davis			
	5,621,797	04/15/1997	Rosen			
	5,629,980	05/13/1997	Stefik et al.			
	5,633,932	05/27/1997	Davis et al.			
	5,634,012	05/27/1997	Stefik et al.			
	5,638,443	06/10/1997	Stefik et al.			
	5,655,077	08/05/1997	Jones et al.			
	5,708,717	01/13/1998	Alasia			
	5,734,823	03/31/1998	Saigh et al.			
	5,734,891	03/31/1998	Saigh			
	5,745,569	04/28/1998	Moskowitz et al.			
	5,748,783	05/05/1998	Rhoads			
	5,761,686	06/02/1998	Bloomberg			
Examiner EXAMINER: Initial if o	citation considered, whe	ther or not citation is	Date Considered in conformance with MPEF	9 609; Draw	line through cit	ation if

Form PTO- (Rev. 8-83)	Paten	partment of Commerce t and Trademark Office	Atty Docket 111325-4	5	Serial No. 09	/778,005
/KC	FORMATON DISCLOSURE ST.	ATEMENT	Applicants: Stefik et	al.		
	MIR 3 0 5005 ST		Filing Date: February	07, 2001	Group Art U	nit:
PA	(b)	U.S. PATENT	DOCUMENTS			
Examiner Initial	TRADEM Document Number	Date	Name	Clas	s Subclass	Filing Date (if appropriate)
	5,765,152	06/09/1998	Erickson			
	5,768,426	06/16/1998	Rhoads			
	5,825,892	10/20/1998	Braudaway et al.	RE	CEIVE	
	6,047,067	04/04/2000	Rosen	i i i i i i i i i i i i i i i i i i i	VLIVL	
	6,115,471	09/05/2000	Oki et al.	SI	P 0 4 2002	
	6,233,684	05/15/2001	Stefik et al.	Techno	logy Center 2	hn
	6,266,618	05/01/2001	Downs et al.)	
	6,345,256	02/05/2002	Milsted et al.			
		FOREIGN PATEN	T DOCUMENTS			
Examiner Initial	Document Number	Date	Country	Clas	s Subclass	Translation Yes No
	0 084 441	07/27/1983	EP			Full Eng
	0 180 460	05/07/1986	EP			Full Eng
	0 332 707	09/01/1989	EP			Full Eng
	0 651 554 .	05/03/1995	EP		•	Full Eng
	0 668 695	08/23/1995	EP			Full Eng
	0 725 376 ,	08/07/1996	EP			Full Eng
	2 136 175	09/12/1984	GB .			Full Eng
	2 236 604	04/10/1991	GB			Full Eng
	WO 01/63528	08/30/2001	PCT			Full Eng
	WO 92/20022	11/12/1992	PCT			Full Eng
	WO 93/01550	01/21/1993	PCT			Full Eng
	WO 99/49615	09/30/1999	PCT			Full Eng
	OTHE	R DOCUMENTS	(Including Author, Title, Date	e, Pertinent Pa	ges, Etc.)	
Examiner Initial						
	"National Semiconductor and EF Release from Electronic Publishi		nation Metering/Data S	Security Card	ds" March 4, 199	4, Press
· · ·	Weber, R., "Digital Rights Management Technology" October 1995					
•	Flasche, U. et al., "Decentralized 2	Processing of Doc	uments", pp. 119-131,	1986, Com	out. & Graphics,	Vol. 10, No.
	Mori, R. et al., "Superdistribution	: The Concept and	the Architecture", pp.	1133-1146,	1990, The Trans	actions of
Examiner			Date Considered			
*EXAMIN	ER: Initial if citation considered, who				w line through ci	tation if

Form PTO-1 (Rev. 8-83)	449 U.S.Department of Commerce Patent and Trademark Office	1 ATTY HOCKET 1113/7-47	Serial No. 09/778,005		
` <u>`</u>	P E FORMATION DISCLOSURE STATEMENT	Applicants: Stefik et al.			
OUA)	3 0 2002 🗒	Filing Date: February 07, 2001	Group Art Unit:		
PE	OTHER DOCUMENTS	(Including Author, Title, Date, Pertinent Page	s, Etc.)		
Examine & Initial	TRADEMA				
	Weber, R., "Metering Technologies for Digital Intellenternational Federation of Reproduction Rights Organization		A Report to the		
,	Clark, P.C. et al., "Bits: A Smartcard protected Ope Communications of the ACM, Vol. 37, No. 11	erating System", pp. 66-70 and 94, No	ovember 1994,		
	Ross, P.E., "Data Guard", pp. 101, June 6, 1994, F	orbes			
	Saigh, W.K., "Knowledge is Sacred", 1992, Video I	Pocket/Page Reader Systems, Ltd.			
	Kahn, R.E., "Deposit, Registration and Recordation August 1992, Corporation for National Research In		ent System", pp. 1-19,		
	Hilts, P. et al., "Books While U Wait", pp. 48-50, Jan	nuary 3, 1994, Publishers Weekly			
ŀ	Strattner, A, "Cash Register on a Chip may Revolut Corp.", pp. 62, April 1994, Computer Shopper, Vol.		on; Wave Systems		
	O'Conner, M., "New Distribution Option for Electron for CD-ROM use; Column", pp. 134, March 1994, 0				
	Willett, S., "Metered PCs: Is Your System Watching You? Wave System beta tests new technology", pp. 84, May 2, 1994, InfoWorld				
1	Linn, R., "Copyright and Information Services in the Context of the National Research and Education Network ", pp. 9-20, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1				
	Perrit, Jr., H., "Permission Headers and Contract Law", pp. 27-48, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1				
	Upthegrove, L., "Intellectual Property Header Descriptors: A Dynamic Approach", pp. 63-66, January 1994, IMA Intellectual Property Proceedings, Vol. 1, Issue 1				
	Sirbu, M., "Internet Billing Service Design and prototype Implementation", pp. 67-80, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1				
	Simmel, S. et al., "Metering and Licensing of Resources: Kala's General Purpose Approach", pp. 81-110, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1				
	Kahn, R., "Deposit, Registration and Recordation in an Electronic Copyright Management System", pp. 111-120, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1				
	Tygar, J. et al., "Dyad: A System for Using Physically Secure Coprocessors", pp. 121-152, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1				
	Griswold, G., "A Method for Protecting Copyright on Networks", pp. 169-178, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1				
	Nelson, T., "A Publishing and Royalty Model for Networked Documents", pp. 257-259, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1				
	Robinson, E., "Redefining Mobile Computing", pp. 238-240, 247-248 and 252, July 1993, PC Computing				
	Abadi, M. et al., "Authentication and Delegation with Smart-cards", 1990, Research Report DEC Systems Research Center				
	Mark Stefik, "Letting Loose the Light: Igniting Commerce in Electronic Publication", pp. 219-253, 1996, Internet Dreams: Archetypes, Myths, and Metaphors, IDSN 0-262-19373-6				
	Mark Stefik, "Letting Loose the Light: Igniting Commerce in Electronic Publication", pp. 2-35, February 8, 1995, Internet Dreams: Archetypes, Myths and Metaphors,				
F :		Dur Could in SFE	0 4 2002		
*EVAMENT	ED. Initial if aitation considered whether are not sixtless.				
not in confo	ER: Initial if citation considered, whether or not citation is rmance and not considered. Include copy of this formwith	h next communication to applicant.	gy Center 2100 "		

Form	PTO-1449
(Rev.	8-83)

U.S.Department of Commerce Patent and Trademark Office

Atty Docket 111325-45

Serial No. 09/778,005

INFORMATION DISCLOSURE STATEMENT

Applicants: Stefik et al.

Filing Date: February 07, 2001

Group Art Unit:

RECEIVED

SEP 0 4 2002

Technology Center 2100

Examiner

Date Considered

*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this formwith next communication to applicant.